

# *e-Docket*

## Reference Guide



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# Table of Contents

	<u>Page</u>
Disclaimer	3
Introduction	
Overview	4
What is e-Docket?	4
Key Benefits	4
Using This Reference Guide	5
Functional Screen Elements	6
Drop-Down List Box	
Text	
Hyperlink	
Button	
Option Button	
Check Box	
Hardware and Software Requirements	7
Dockets and Docket Numbers Explained	8
Summary of the Data Screens Within a Docket	9
Docket Information	
Documents	
Decisions	
Case Schedule	
Staff Assigned	
Service List	
Linked Dockets/Consolidated Dockets	
Search Methods	
Company	10
Docket Number	11
Docket Detail	11
Document Detail	12
Full Text	13
Decision Number	14
Event Detail	14
Reports	
View Daily Distribution Report	15
View Pending Matters Report	16
Appendices	
Appendix A: Prefix Designations	17
Appendix B: Frequently Asked Questions about documents you will find in <i>e-Docket</i>	18 - 20

## **DISCLAIMER**

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# *e-Docket* Reference Guide

## *INTRODUCTION*

### OVERVIEW

The Arizona Corporation Commission (ACC) welcomes you to the Electronic Docket Management System (*e-Docket*), an electronic docket information management system accessible to the general public on the internet. The following information is provided to explain the purpose and functions of *e-Docket* and present the procedures for searching and viewing the available data.

### WHAT IS *e-Docket*?

*e-Docket* is a web-based, automated information and record-keeping system. It has been developed to process and manage the public information pertaining to ACC cases and rule-making proceedings referred to herein as cases or dockets.

NOTE: All official filings must be submitted to Docket Control in paper form per the current procedures, which require an original and 13 copies. The ACC Docket Control office does not accept faxes or electronic filings at this time.

Filings are accepted during normal business hours, Monday through Friday [except for official state holidays], 8:00 a.m. to 5:00 p.m. at the ACC, 1200 West Washington St., Docket Control, Room #108, Phoenix, Arizona 85007.

### Key Benefits of *e-Docket*

- 24-hour access to docket information via the internet.
- Access, search, view and download docket related information from any remote terminal.
- Ability to perform narrowly defined searches of dockets and documents.
- View and print the electronic images of documents filed in dockets.
- Simultaneous access to docket information and document images by parties, ACC Staff and the public.
- Secure storage and easy retrieval of scanned documents.
- Reduction in costs of copying, transportation and storage.

## USING THIS REFERENCE GUIDE

This document is also available in Adobe Portable Document Format (PDF) at the ACC web site and can be downloaded and viewed using Adobe Acrobat Reader version 7.

In the "Search Methods" section of this Guide you will find the step-by-step procedures for performing each of the primary searches:

1. **Company Name.** Locate dockets and documents for a particular company.
2. **Docket Number.** Enter a docket number and view the Docket Details report for that docket with links to 5 other reports specific to that docket - Docket Sheet, Staff Assigned, Service List, Case Schedule and Documents.
3. **Documents.** View a list of the filings docketed in a case and view the electronic images of those documents that were docketed after March 10, 2004.
4. **Docket Detail.** Search using a combination of basic information pertaining to a docket to include company name (or DBA), docket type, current status and/or specified date range.
5. **Full Text Search.** Construct queries using specific key words or phrases and retrieve documents that contain those words/phrases.
6. **Decisions.** Locate information and images for Decisions issued by the ACC.
7. **Events.** Locate the date, time and location of various events associated with a docket such as hearing, pre-hearing conference, procedural conference, telephonic procedural conference, open meeting, public comment sessions and special open meetings.

Reports available include:

1. **Daily Distribution Report.** Enter a specific date and view the list of documents that were docketed with the ACC on that day.
2. **Utilities Pending Matters Reports.** View a comprehensive list of all pending dockets.

## FUNCTIONAL SCREEN ELEMENTS

Functional screen elements are objects you select or click with the mouse to cause an action. The following table provides you with examples and brief explanations of the functional elements you will see in the various *e-Docket* screens.

### ELEMENT

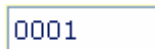
### FUNCTION

#### ***Drop-Down List Box***



A drop-down list box allows you to choose one option from a list of possibilities. It is a small window, displaying the currently selected option, next to a button marked with a down arrow. Click the button and the list will drop down. Select the option you would like by clicking on it with the mouse.

#### ***Text Box***



A small box into which you enter text or view text.

#### ***Hyperlink***



A connection between a screen item, such as a word, phrase, symbol or image and information pertaining to that item on another screen in another location. Linked items are usually underlined or the text is a different color. You can activate the link by clicking on the underlined or different colored text.

#### ***Button***



An element that performs the function specified on the face of the button. Activate the button by clicking it with the mouse.

#### ***Check Box***



A control device used to select or “deselect” one or more features or options from a set of options. When an option is selected, a checkmark appears in the box.

## **HARDWARE AND SOFTWARE REQUIREMENTS**

The following are the minimum system requirements:

The *e-Docket* web site was designed and tested using Internet Explorer 6.0. This site recommends that your web browser be IE 6.0 or higher. You can check your browser version by choosing "Help", and then, the "About" option in your browser.

Use Adobe Acrobat version 7 for all pdf format documents.

## DOCKET NUMBERS EXPLAINED

Explanation addressing the docket numbering system:

A docket number has six (6) primary and specific sections. The 5-digit field at the end is used for line siting case numbers only. Refer to the following docket number as an example:

T - 01234 A - 02 - 0021 - XXXXX  
1        2        3        4        5        6

1. Prefix: The "T" would designate a telecommunications case. (See Appendix A for a complete list and description of all prefix designations.)
2. Company Number: The "01234" would designate the company number unique to a specific company.
3. Division: The "A" would designate the specific division.
4. Year: The "02" would designate the year the case was filed. For example, this case was filed in 2002.
5. Matter: The "0021" would designate the unique identifying matter number assigned to this case when the case was opened.
6. Line Siting (Case Number): The last 5-digit field at the end of the docket number is for line siting case numbers ONLY.

**NOTE:** *e-Docket* automatically generates matter numbers and displays them as 6-digits – a 2-digit year followed by a 4-digit sequential matter number. The sequential 4-digit matter number starts over each year.

***For example:*** the 199<sup>th</sup> docket opened during the year 2004 is shown as 04-0199. Therefore, you can find this docket by entering 04-0199 into the appropriate search field in *e-Docket* that request Year-Matter number.



## SUMMARY OF THE DATA SCREENS WITHIN A DOCKET

- **Docket Information Screen.** Basic information about a docket includes:
  - Docket Number.
  - Company/dba Name.
  - Case Type.
  - Current Status.
  - Date the Docket was Opened.
  - Description.
  - Special instructions.
- **Documents.** A list and brief description of all documents, briefs, testimony, exhibits and transcripts etc., that have been docketed. From this screen you are able to view the electronic image of the document (if available). Also at the top of the screen on this page is the "Document List Report" which is a printable, abridged list of all filed documents.
- **Decisions.** A list of all Decisions issued in a particular docket. From this screen you are able to view the electronic image of each Decision document (if available).
- **Case Schedule.** Provides the date, time & location for the following events:
  - Hearings.
  - Pre-hearing conferences.
  - Procedural conferences.
  - Telephonic procedural conferences,
  - Open Meetings.
  - Public comment meetings.
  - Special open meetings.
- **Staff Assigned.** A list of ACC Staff members who are assigned to a particular docket, including a list of all A-Team members.
- **Service List.** A list of all parties to a case who have filing rights and who are notified of all scheduled events. The service list includes mailing addresses of the parties and can be used to create mailing labels or to generate a service list for document filing.
- **Linked Dockets i.e., Consolidated Dockets.** If the docket is consolidated (*two or more dockets grouped together so that the dockets can be heard and resolved as a single proceeding*) with another docket or dockets, all affected dockets are linked electronically on the "Linked Dockets" tab.

## ***SEARCH METHODS***

### **1 - COMPANY SEARCH**

Overview: Locate dockets and documents for a particular company. Type in (or select from the drop-down list) a specific company name or trade name (often referred to as "DBA") and view a list of dockets related to this company. The results list will contain links to all of these dockets. Click "View Details" to review detailed information for the docket.

Following is a step-by-step description to help facilitate navigation of this screen:

Note: The application will automatically conduct the search of both the "Company Name" and "DBA" fields.

- 1) In the text box for "Company Name" enter the name of a company in the text window. A list of company names that match that name will appear.

Or,

- 2) Simply use the drop-down feature to select the company name that you are looking for.

Or,

- 3) Enter the DBA to search the records.

Then,

- a) Select "Search".
- b) The results will be a listing of all dockets for the specific company that matches your search.
- c) Select "View Details" to view a specific docket for your company.

Other search options on this page include *Docket Number* search and *Document* search.

## 2 - DOCKET NUMBER SEARCH

Overview: Locate dockets by docket number. Enter a docket number and view key information pertaining to that docket. Click "View Details" to review detailed information for the docket.

Following is a step-by-step description to help facilitate navigation of this screen:

1) In the "Docket Number" field, enter the entire docket number (if known).

Or,

2) In the "Year-Matter" field, enter the year and matter number.

Then,

- a) Select "Search".
- b) The results provide you with the specific docket requested.
- c) Select "View Details" to view the docket information.

Other search options on this page include *Docket Details* search and *Document* search.

## 3 - DOCKET DETAIL SEARCH

Overview: Locate dockets and docket data by choosing from various combinations of search options. This page is extremely versatile and is helpful when conducting research which is narrow in scope.

Specify different parameters (company name, DBA, docket type, case type, current status and/or a specific date range) to search dockets.

Following is a step-by-step description to help facilitate navigation of this screen:

Note: Select one (1) or more of the parameters on the screen. You are not required to use every option.

1) In the "Company Name" field enter the name of the company in the text window.

And/Or,

2) In the "DBA" field enter the name of the company in the text window.

And/Or,

3) In the "Docket Type" field use the drop-down list box to select this option.

And/Or,

- 4) In the "Current Status" field use the drop-down list box to select this option.

And/Or,

- 5) To restrict the search to a specific date range use the list boxes to select day/month/year.

Then,

- a) Select "Search".
- b) The results will be a listing of all dockets meeting the selected criteria.
- c) Select "View Details" to access and view all the information for that docket.

Other search options on this page include **Docket Number** search and **Document** search.

#### **4 - DOCUMENT DETAIL SEARCH**

Overview: Locate and view documents by choosing from various combinations of search options. Specify the search parameters (docket number or year-matter, document code/document sub-code, company name, filed by, barcode and/or a specific date range) to narrow your search.

Following is a step-by-step description to help facilitate navigation of this screen:

Note: Select one (1) or more of the parameters on the screen. You are not required to use every option.

- 1) Set at least one (1) parameter for the search.
- 2) In the "Docket Number" field enter the entire docket number (if known).

Or,

- 3) In the "Year-Matter" field enter the year and matter number.

And/Or,

- 4) In the "Document Code" field select one (1) code only from the drop-down list box.

And/Or,

- 5) In the "Sub Code" field select one (1) code only from the drop-down list box.

And/Or,

- 6) In the "Company Name" field enter a company name or select a company name from the drop down list box. Incorporating this search option will assist in sufficiently narrowing your search.

And/Or,

- 7) In the "Filed By" field enter the name of the individual who filed the document or select from the drop down list box.

And/Or,

- 8) In the "Barcode" field enter the entire barcode number for your document (if known).

And/Or,

- 9) To restrict the search to a specific date range use the drop-down list boxes to select day/month/year.
  - a) IF you select a date range and no other parameters, the result will be a list of all documents in all dockets that were filed/docketed during the date range specified in your search.

Then,

- b) Select "Search".
- c) The results will be a listing of all documents meeting the selected criteria.
- d) Select "View Image" to view a specific document.

Other search options on this page include *Document Full Text* search and *Docket* search.

## **5 - DOCUMENT FULL TEXT SEARCH**

Construct queries using key words or phrases and retrieve documents containing those terms. The results list contains links to documents in the database that contain those terms AND links to the docket(s) where that document belongs. Click "View Image" to view a specific document from the list.

- 1) Click the "Full Text Search" option.
- 2) On the next screen, type in any word or phrase in the text box that defines your query.
- 3) Click "Search".
- 4) The system searches all files in *e-Docket* and returns a list of documents (and their dockets) that include the word or phrase you specified, no matter where they may appear in the document.

Other search options on this page include *Document Detail* search and *Docket* search.

## **6 - DECISION NUMBER SEARCH**

Locate information for and images of Decisions issued by the ACC. Currently, images are available for Decisions that were issued during 2005, 2004, 2003, 2004. Docket Control is in the process of imaging Decision dockets back to and including January 1, 2001.

All historical Decisions that are not in *e-Docket* are maintained in Docket Control.

Following is a step-by-step description to help facilitate navigation of this screen:

- 1) Enter the Decision number in the "Decision Number" field.
- 2) The results screen will provide you detailed information specific to that Decision, to include:
  - a) Company name.
  - b) Filed by.
  - c) Barcode number.
  - d) Microfilm location.
  - e) Document code and sub code.
  - f) File date.
  - g) Brief description of the Decision.
- 3) Click on "View Image" to view the document image.

Or,

- 4) Click on "View Details" to view the docket or dockets for this Decision.

There are no other search options on this particular search screen.

## **7 - EVENT DETAIL SEARCH**

Locate the date, time and location of various events (hearing, open meeting, pre-hearing conference, procedural conference, public comment, special open meeting, telephonic procedural conference) scheduled for a specific date or date range.

Following is a step-by-step description to help facilitate navigation of this screen:

- 1) In the "Event Type" field use the drop-down list to select the type of event.
- 2) To restrict the search to a specific date or date range use the list boxes to select day/month/year.

Then,

- 3) Click "Search".
- 4) The results will be a listing of all events which meet the selected criteria.

There are no other search options on this particular search screen.

## ***REPORTS***

The Reports tool provides *e-Docket* case information to the public and the ACC staff. They include fixed reports as found on the Reports page and user-defined reports that can be found throughout the database such as within the various search screens.

### **VIEW DAILY DISTRIBUTION REPORT**

The Daily Distribution Report lists all documents filed with the ACC on a specific date (as specified in your search).

For the current day, this report is a near real-time report. As documents are filed, entered, scanned and reviewed for quality control purposes by the ACC Docket Control office, the list is updating. Consequently, you may want to check the report for the current day's filings throughout the day.

On days when the ACC Docket Control office receives a high volume of filings, some incoming documents may not be processed and thus, available for viewing, until the following business day.

Following is a step-by-step description to help facilitate running this report:

- 1) From any screen within the *e-Docket* program move your mouse to the top of the screen and click on the icon that says "Reports". This will take you to the "Reports" screen.
- 2) At the far left of the screen you will see the "Select Report" field.
  - a) Click on the title of the report you want to view.  
**EXAMPLE:**
  - b) Click on "Daily Distribution Report".
  - c) Select "Filing Date" using the drop-down boxes.
  - d) Select the format for the report i.e., PDF, Web, Word, Excel
  - e) Click on "Run Report".
  - f) Results: The next screen will be the Daily Distribution Report for the specified date. The report includes the following information for each filing listed on the report:
    - i) Docket number.
    - ii) Case type.
    - iii) Company/DBA name.
    - iv) Document type.
    - v) Name of individual who filed the document.

**VIEW PENDING MATTERS REPORT UTILITIES DIVISION OR SEWER & WATER**

- 1) Select the format for your report
  - a) PDF
  - b) Web
  - c) Word
  - d) Excel
- 2) Click "Run Report"
- 3) Print report.



## Appendix A: Prefix Designations

A	ACC Administrative Actions/Securities
C	Communications
E	Electric
G	Gas
I	Irrigation
L	Line Siting Committee
RC	Rules/Communications
RE	Rules/Electric
RG	Rules/Gas
RI	Rules/Irrigation
RR	Railroad Safety
RRR	Rules/Railroad
RS	Rules/Securities
RSW	Rules/Sewer
RT	Rules/Telecommunications
RW	Rules/Water
S	Securities
SW	Sewer
T	Telecommunications
W	Water
WS	Wastewater/Sewer

## **Appendix B: Frequently Asked Questions about documents you will find in e-Docket**

### ***What is an application?***

Very simply, an application is the document that opens a specific case. It could be an application to change rates, to introduce a new service, to change the conditions of service or deal with any other issues that would fall under the Commission's authority.

### ***What is a tariff?***

Utility tariffs are documents that outline the terms and conditions - and frequently the prices - for services from a particular utility. The Arizona Corporation Commission has a tariff library in its Utilities Division where people can research approved tariffs.

### ***What is a CC&N?***

This is an abbreviation for Certificate of Convenience and Necessity. It is the permit that allows a utility to serve a specific geographic area. Before a company can provide a regulated utility service such as water, electric, natural gas, telephone or sewer service, it must first obtain a CC&N that outlines the territory and terms under which the territory was granted.

### ***What is a CC&N Extension?***

As above, if a utility wants to expand its territory, it would file for an extension of its geographic boundaries to be able to serve the new area.

### ***What is an interconnection agreement?***

These documents would lay out the specific terms and conditions under which one utility would connect its infrastructure to another utility. These are most common in the telecommunications arena where one provider is interconnecting and using the "hardware and software" of another company.

### ***What is financing?***

Before a regulated utility can put all or part of its infrastructure up as collateral against a loan, it must receive Commission approval. Financing applications are reviewed in detail to make sure ratepayers will somehow benefit from whatever changes or improvements come from the financing.

### ***What is a formal complaint?***

If a person or company still isn't satisfied after trying to resolve an issue directly with the company or through our Utilities Division, the person/company has the right to file a formal complaint. At the formal complaint level, the actions are similar to a court case. If you were filing a complaint, you would file a detailed, written description of the dispute, explain what you have done to address the issues so far, the specific Commission rules or administrative codes you believe were violated and the specific resolution you are seeking. You and the utility will testify in front of an administrative law judge. You should understand that the party filing the complaint bears the legal burden of proving its case. The judge will then prepare a recommendation for the

Commissioners to review and provide copies to both you and the utility. The Commissioners will make a final decision on your case during a public open meeting. For information see <http://www.cc.state.az.us/utility/cons/index.htm>.

The Commission can also file a complaint against a company for failing to abide by Arizona laws or regulations.

#### *What is an Order to Show Cause?*

Orders to Show Cause are filed by the Commission staff when it believes a utility has committed willful or serious violations of Arizona laws or regulations. This is the most serious form of complaint that can be filed against a utility. Orders to Show Cause require the utility to prove why it has acted or failed to act - in other words, to show cause as to why the utility should not be sanctioned for violating regulations.

#### *What is a motion to intervene?*

You would file a motion to intervene if you intended to become a litigator in a case. Becoming an intervenor gives you the right to offer testimony, to cross examine witnesses and to participate in all aspects of a case. Intervenors are also sometimes referred to as "parties."

You can view a sample request for intervention and the guidelines for filing a motion at <http://www.cc.state.az.us/utility/forms/interven.pdf>.

#### *What is testimony?*

Testimony is oral or written evidence presented under oath to answer questions about the basis for your legal argument or position in a particular case. Most of what you will find labeled as "testimony" in *e-Docket* is actual written testimony. Transcripts also include oral testimony and cross examination that takes place during a hearing or oral argument session. Parties and intervenors can file testimony.

#### *What are exceptions?*

This is a document that outlines a party's disagreement with a recommendation from an administrative law judge or the Commission staff. Once an administrative law judge has held a hearing on a case or once the staff or judge issue a recommendation to the Commissioners, any official party may file an exception.

#### *What is an affidavit of public notice or an affidavit of publication?*

Certain types of filings require utilities to publish notice of the filing in newspapers within the affected area. An affidavit of public notice or an affidavit of publication is proof that the proper notification took place.

#### *What is a motion?*

A motion is a formal request to the judge to change or rule on some aspect of a case. When the applicant, staff or intervenors wants the judge to order something to happen - whether it is a change in deadlines or hearing dates or something more complex - the group would ask for this change by filing a motion.

### *What are comments?*

Comments can include statements, letters, petitions or other forms of communication about the case that are filed by non-intervenors. Generally, what you will find labeled as "comments" are questions, concerns or statements filed by individuals who could be affected by the outcome of the case.